

Summary of Changes

to

P 473.1-4
Visitor Control

Revised Version Issued as P 473.1-4A of 9/8/04

NETL Procedure 473.1-4, Visitor Control, of 5/21/03, has undergone revisions. Revisions include changing the Safeguard and Security Officer title to Facility Security Officer. Other changes were to make the Procedure consistent with other Security directives and minor changes for clarity. Please replace NETL Procedure 473.1-4 with NETL Procedure 473.1-4A.

The most recent and official controlled hard copy version of this directive resides with NETL's Directives Coordinator. An electronic version of the controlled directive has been placed on the NETL Intranet for employee use. Printed hard copies of this electronic version are considered noncontrolled documents.

U.S. Department of Energy

National Energy Technology Laboratory

PROCEDURE

P 473.1-4A

DATE: 9/8/04

SUBJECT: VISITOR CONTROL

1. PURPOSE. To establish a visitor control process for the NETL to ensure that visitors are properly identified, authorized for access, and that activities of visitors are consistent with NETL Policy. This Procedure includes processes for both U.S. citizens and foreign national visitors and assignees.
2. CANCELLATION. This Procedure replaces NETL Procedure 473.1-4, Visitor Control, of 5/21/03.
3. REFERENCES.
 - a. DOE Order 142.3, [Unclassified Foreign Visits and Assignments](#).
 - b. DOE Order 473.1, [Physical Protection Program](#).
 - c. DOE Manual 473.1-1, [Physical Protection Program Manual](#).
 - d. NETL Order 473.1, [Vehicle and Package Inspections, Prohibited and Controlled Articles](#).
 - e. NETL Procedure 473.1-1, [Issuance and Control of Security Badges and Access Cards](#).
 - f. NETL Procedure 480.1-1, [Export Compliance Determination Procedure](#).
4. DEFINITIONS.
 - a. Escort -- An NETL employee, usually the host, that accompanies a visitor while on the NETL site.
 - b. Foreign Access Central Tracking System (FACTS) -- FACTS is the DOE web-based, standardized, automated system use for the control and tracking of unclassified foreign visits and assignments information. FACTS is used to facilitate the necessary security plans, indices checks, reviews, and management approvals necessary to obtain clearances for foreign national access to unclassified information.
 - c. NETL Host -- The NETL point of contact for the visitor.

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- d. NETL Visitor Registration List -- The list of visitors generated for each site daily. Employees must notify Security 24 hours prior to visitor's arrival to have them placed on the list.
- e. On-Site Parking Permit -- A permit issued at the NETL Morgantown site to park a vehicle within the Security area (i.e., other than the authorized parking lots).
- f. PPE -- Personal Protective Equipment.
- g. Visitor -- An individual who is not permanently employed at NETL who enters onto the NETL site. This includes, but is not limited to, industrial partners with NETL, conference attendees, visiting foreign nationals, and employees from other Federal facilities, including DOE facilities.
- h. Visitor Parking Permit -- A parking permit that authorizes a vehicle to park in NETL's parking lot. The parking permit shall be displayed on the dashboard of the entering vehicle and shall allow access to park on the NETL site for a period specified on the parking permit by Security.
- i. Visitor's Safety Briefing -- A briefing that informs visitors of NETL's general safety rules and emergency responses procedures that the visitor must follow while on an NETL site. Visitors will be given an info sheet to take with them which contains the rules and emergency response procedures.

5. QUALITY CONTROL. The NETL Facility Security Officer shall periodically review Visitor Control Procedure to ensure compliance with DOE directives.

6. RESPONSIBILITIES.

- a. The NETL Facility Security Officer (FSO) shall:
 - (1) Be responsible for implementation of this Procedure.
 - (2) Have authority to deny visitor access to the site.
 - (3) Render policy decisions that are not specifically covered by this Procedure.
- b. NETL Receptionists and Security Officers shall:
 - (1) Ensure that all visitors to NETL have presented photo identification.
 - (2) Ensure that all visitors to NETL have received the NETL Visitor Safety Briefing.
 - (3) Maintain and issue visitor badges.

- (4) Maintain accountability of all badges issued and perform accountability audit at the end of each day.
- (5) Refer issues with respect to visitor access to the NETL Facility Security Officer for resolution.
- (6) Provide administrative support for the Foreign National Visits and Assignments.
- (7) Maintain liaison with NETL Security to generate the daily Visitor's Registration List.
- (8) Contact the host to inform them of the arrival of a visitor.
- (9) Maintain an accounting of visitors to the NETL site using the appropriate log.

c. NETL Hosts shall:

- (1) Notify Security by e-mail at least 24 hours prior to having a U.S. citizen visit the site.
- (2) Follow NETL Procedure 142.1-1 for foreign national visitors and assignees.
- (3) Escort visitors.
- (4) Be held accountable for the conduct of a visitor while at the Laboratory.

d. SSC ES&H shall provide information to NETL hosts as requested on the particular hazards of a high-hazard area or conduct briefings if requested by the NETL host.

e. Conference Services shall be responsible to conform to the intent of this Procedure.

7. TRAINING REQUIREMENTS. None.

8. DOCUMENT CONTROL. Records shall be retained and maintained by Security and the Receptionist in accordance with Schedule 18 of the General Records Schedules.

9. PROCEDURE.

a. General Requirements for Visitors

- (1) The requirements described in this document shall be applicable Monday through Friday, 7:30 a.m. - 4:30 p.m. and during special events that have been coordinated with Conference Services and NETL Security. Visitors are not authorized on the NETL site during other time periods unless authorized by the appropriate Security Office.

- (2) NETL hosts must pre-register visitors 24 hours in advance by issuing an electronic mail either to the NETL Receptionist or Security Office at the respective site for the visit. NETL hosts shall provide the following information for a visit: name(s) of visitor(s), company affiliation, country of citizenship, and date and time of visit. Requirements for foreign national visitors are outlined in NETL Procedure 142.1-1, Foreign National Visits and Assignments.
- (3) Failure to pre-register will at the least delay access of the visitor and could cause the visitor to be denied access to the site. NETL Security can deny entry to any visitor not properly registered.
- (4) Visitors must disclose if they are a U.S. citizen or foreign national. If a visitor is a foreign national, access to the NETL site will be based solely upon approval of the person via the Foreign National Visitor and Assignment Process.
- (5) Visitors must present valid picture identification to gain access to the site and complete the NETL registration process. Foreign national visitors must provide a current passport as identification.
- (6) Visitors and assignees shall wear badges at all times while at the Laboratory.
- (7) All visitors, unless stated otherwise in the document, will require an escort while at the Laboratory unless prior arrangements are made with the NETL Facility Security Officer. Foreign national assignee escort requirements shall be established in the specific security plan per NETL Procedure 142.1-1.
- (8) Visitors must return the visitor badge to the Receptionist or the Security Office before leaving the NETL site. Visitor badges may not be used to gain access to the site.
- (9) All hand-carried items by visitors into the NETL site shall be subject to search by NETL Security.
- (10) No hand-carried items may be taken on tours of the site. They can be held at the Security Office or reception area.
- (11) Visitor vehicles shall be subject to search by NETL Security.
- (12) Visitors will not be permitted to bring non-business related items (e.g., luggage) into NETL buildings.
- (13) Visitors may not bring cameras onto the site. Special requests such as public relations, social events, etc., shall be coordinated with the Security Office and a pass may be issued.

- (14) Controlled articles shall be handled in accordance with NETL Order 473.1, Vehicle and Package Inspections, Prohibited and Controlled Articles.

b. Conferences

- (1) All conference attendees are subject to all of the General Requirements for Visitors, in addition to the specific requirements listed in this section.
- (2) All conferences must be coordinated for access to the NETL site by the Conference Services and NETL FSO.
- (3) The NETL host shall initiate the generation of a Conference Security Plan (CSP) by arranging a meeting with Conference Services and Security. The CSP shall address security processes, arrival/departure times, parking and/or shuttle services, number of guests expected, and any special requirements. The host and Conference Services shall make notifications to those impacted by the conference, such as parking changes or tours. The Conference Services Plan shall be completed for review and approval by the Facility Security Officer at least 10 working days before the event.
- (4) The NETL host or their designee shall ensure that an NETL safety briefing is provided at the beginning of the conference or meeting or tour as required by NETL Policy.
- (5) A conference badge must be issued to every attendee for conferences. Conference badges shall conform to NETL Procedure 473.1-1.
- (6) Conference badges must be worn at all times while onsite and cannot be used to gain entry into the site.
- (7) Parking shall be authorized in the areas designated in the Conference Security Plan.
- (8) Site access by conference attendees or large groups shall be restricted to the areas defined within the Conference Security Plan.
- (9) A conference attendee or a member of a large group activity must formally register as an NETL visitor to gain access to other areas of NETL and be given a visitor's badge. Foreign national visitors must remain within the scope of their approved plan.

c. Tour Groups

- (1) All tour groups shall be:
 - (a) Pre-registered as visitors for U.S. citizens or foreign nationals approved per Foreign National Visitors and Assignments, NETL Procedure 142.1-1.
 - (b) Briefed on the potential hazards in the tour areas.
 - (c) Escorted at all times.
 - (d) Required to wear appropriate personal protective equipment (PPE).
 - (e) Shall be coordinated with Security at least 5 days in advance for groups larger than 10 persons.
- (2) The NETL host or their designee shall ensure that an NETL safety briefing is provided at the beginning of the conference or meeting or tour as required by NETL Policy.

d. Day Care Dropoffs/Pickups (Non-NETL Employees)

- (1) Day Care customers shall be treated as a special class of visitors to the NETL Morgantown site. Each visitor shall be logged in and out by Security.
- (2) Customers shall only be authorized on the NETL site during normal Day Care business hours and are only authorized access to the Day Care.
- (3) Customers must present a picture ID upon entry to the north parking lot to gain access to NETL. The customer will be verified against the Day Care roster. The Day Care shall provide the roster and updates as children are enrolled and taken out.
- (4) Special parking spaces will be provided for customers at a location determined by the NETL Facility Security Officer.
- (5) Upon leaving the site the customer(s) provide the guard at the north lot gate with their name.
- (6) Access to the NETL site by foreign national customers will be dependent upon approval of the NETL Director via the Foreign National Visit and Assignment Procedure.

e. Foreign Nationals (FN) Visitors

- (1) All NETL personnel including, but not limited to, DOE employees, external contractors, and Site Support Contractors are subject to the requirements of the FN Visit and Assignment Procedure.
- (2) Foreign National Visitors are subject to all of the General Requirements for Visitors, in addition to the specific requirements listed in this section.
- (3) It is imperative that the NETL host obtain the required prior approvals for a FN visitor or the visitor will not be permitted access to NETL.
- (4) This Procedure fully recognizes the likelihood of delayed visits. FN visitors shall be accepted late per the policy established by NETL management. The NETL Receptionist will be the point of contact to determine the validity of the approval for a delayed visit.
- (5) A FN visitor must present a current passport to gain access to the site.
- (6) FN visitors shall wear a distinctive badge as defined by NETL Procedure 473.1-1 while on the NETL site.
- (7) Escorts are required for all FN visitors. The areas frequented by the FN visitor, the interaction with specific NETL employees and subjects discussed shall be consistent with the approved Security Plan for the FN visitor(s). The technical exchange with the FN may also require an export determination (please refer to NETL Procedure 480.1-1).
- (8) All FN visitor badges are to be returned to the Receptionist or the NETL Security Office immediately prior to departure from the site. A foreign national badge cannot be used to gain access to the NETL site.
- (9) Foreign national visitors are permitted on the NETL site during normal business hours only (7:30 a.m. to 4:30 p.m.) unless attending a conference or addressed in the specific security plan.
- (10) An approved Cyber Security Plan is required to permit access to NETL computer systems by a FN visitor.

f. Foreign National (FN) Assignments

- (1) All NETL personnel including, but not limited to, DOE employees, external contractors, and Site Support Contractors are subject to the requirements of the FN Visits and Assignments Procedure.

- (2) Foreign National Assignments are subject to the specific requirements listed in this section.
- (3) It is imperative that the NETL host obtain the required approvals for a FN assignment or the assignee will not be permitted access to NETL.
- (4) A FN assignee must present a current passport at the start of their assignment to gain access to the site or to be issued a badge.
- (5) FN assignees shall wear a distinctive badge as defined by NETL Procedure 473.1-1.
- (6) FN assignee shall be required to check in and out each day at the designated NETL Security Office at which time they will pick up or drop off their assigned badge. A FN assignee can check in beginning of 7:30 a.m. each business day. A FN assignee shall check out no later than 5:00 p.m. each day.
- (7) Provide photo ID at badge issuance each day.
- (8) The areas frequented by the FN assignee, the interaction with specific NETL employees and subjects discussed shall be consistent with the approved specific Security Plan for the FN assignee. The technical exchange with a FN may also require an export determination (please refer to NETL P 480.1-1).
- (9) A foreign national badge cannot be used to gain access to the NETL site.
- (10) Foreign national assignees are permitted on the NETL site during normal business hours only. Exceptions must be approved through the local Security Office, requested by host.
- (11) An approved Cyber Security Plan is required to permit access to NETL computer systems by a FN assignee. FN assignees from sensitive or terrorist countries will not be authorized access to the NETL LAN.
- (12) FN assignees must complete the typically required ES&H and Security Training expected of NETL SSC within 30 days (or as specified by NETL Policy) of their initial arrival on site or they will be denied access to the site until the training is complete.

g. Vendors and Delivery Persons

- (1) Vendors and delivery persons are subject to requirements listed in this section.
- (2) Vendors and delivery persons are required to stop at the site entrance guard post for a vehicle inspection.

- (3) Vendors and delivery persons must provide a picture ID to be allowed onsite. Foreign nationals will not be authorized access in the role of a vendor or delivery person without prior approval via the NETL Foreign National Visit and Assignment Procedure.
- (4) Package goods must have an associated NETL employee name or purchase order number or contract number before delivery will be authorized.
- (5) In the absence of purchase order number or contract number, vendors will only be authorized to enter the site if an NETL recipient can provide conformation on the need for the vendor to enter the site.
- (6) Vendors and delivery persons must wear an NETL-provided contractor badge in plain view while on the site.
- (7) Vendors will be authorized unescorted access to the site to proceed directly to a specific delivery point on the site and then must proceed directly off the site.
- (8) Delivery of a personal item to an employee (e.g., flowers, food, etc.) will only be authorized if the recipient can confirm that the package was expected or is willing to accept the delivery.
- (9) The recipient must be willing to accept delivery of the personal item at the location as arranged by NETL Security.
- (10) Badges must be returned to the entry point guard upon departure from the site. The badge cannot be used to gain access to the site.

h. DOE and DOE Contractor Employees Visiting from Other DOE Sites (Non-NETL Employees)

- (1) Non-NETL employees from other DOE sites are subject to the specific requirements listed in this section.
- (2) Non-NETL employees will be required to present their DOE badge upon entrance to NETL (a DOE badge is the preferred form of ID).
- (3) Non-NETL employees shall park in the areas as directed by NETL Facility Security Officers.
- (4) Non-NETL employees will proceed directly to the NETL Receptionist (or the NETL Security Office) to complete the customary check in and out procedures upon arrival to the site. This Procedure will be required for each entry and departure for accountability.

- (5) After the initial daily check in, non-NETL employees with DOE badges will have the same site access privileges as an NETL employee with a DOE badge.
- (6) Non-NETL employees with DOE badges must wear their DOE-issued identification badge according to NETL procedures while on the NETL site.
- (7) Non-NETL employees that have been issued a DOE badge from a site other than NETL, but do not have the DOE badge with them will receive a visitor badge and be subject to the General Requirements for Visitors.
- (8) Upon leaving the NETL site (for the day or the visit), non-NETL employees must log out either with the Receptionist or the NETL Security Office.

i. Access for NETL Employees Traveling Between Sites

- (1) NETL employees visiting either the Pittsburgh or Morgantown site will be required to advise their supervisor or office manager of their intention to travel to the other site and the approximate times they will be at the visiting site.
- (2) Otherwise, NETL employees are required to check in and out of the site being visited at the site's Security Office.

j. VIP Visitors

- (1) On occasion NETL will host VIP visitors (VIP). VIP(s) will be subject to a specific set of visitor control requirements as defined by the NETL Facility Security Officer.

k. After-Hours Visitors

- (1) As a general rule visitors will not be authorized access to the NETL site after normal operating hours.
- (2) Access to the NETL site by after-hours visitors must be approved in advance by the local NETL Security Office. The NETL host will be required to escort the visitor at all times and check out with Security at departure.
- (3) After-hours visitors are subject to all of the general requirements for visitors in addition to the specific requirements listed in this section.
- (4) All after-hours visitors shall be required to log in and log out at the NETL Security Office.
- (5) Escort requirements for after-hours visitors shall be included in the After-Hours Visitor Plan.

- (6) Foreign nationals will not be authorized access after hours with the exception of NETL-sanctioned events such as, but not limited to, an open public meeting or a technical conference. Advanced authorization and approval via the Foreign National Visit and Assignment Procedure must be obtained prior to the visit or assignment.

1. Family Members Visiting NETL

- (1) All family members visiting NETL employees are subject to all of the General Requirements for Visitors, in addition to the specific requirements listed in this section.
- (2) Children are not permitted in work areas during normal business hours except for NETL-sanctioned events (i.e., Take Your Child to Work Day, Science Bowl, school tours, etc.) or non-business hours (i.e., weekends, holidays, etc.). Parents may bring new babies or children on site for occasional introduction to coworkers. Children under age 18 shall not require **photo identification**; however, they must be under adult supervision at all times while on NETL property, including the lobbies, hallways, and parking lots.
- (3) Construction, laboratory, industrial, and other hazardous areas are off-limits to children at all times except for NETL-sanctioned events.
- (4) Family members needing to drop off or pick up articles from NETL employees may do so at the reception area, the Security Office, or the visitor parking lot and will be subject to the same search requirements as visitors.
- (5) Access to the NETL site by a foreign national family member will be dependent upon approval of the NETL Director via the Foreign National Visitor and Approval Process.

Associate Director, **OIBO**